

CDBG-R SUBMISSION TEMPLATE **& CHECKLIST**

The American Recovery and Reinvestment Act of 2009 ("Recovery Act") was signed into law by President Obama on February 17, 2009. The Recovery Act awards \$1 billion in CDBG Recovery (CDBG-R) funds to be distributed to cities, counties, insular areas and states, of which \$10 million has been reserved by HUD for its administrative costs and \$10 million of which will be awarded to Indian tribes. Recipients of the remaining \$980 million of CDBG-R funds will be the approximately 1,200 jurisdictions that received CDBG funding in Fiscal Year 2008. This template sets forth the suggested format for grantees receiving funds from CDBG-R. A complete submission contains the information requested below, including:

- (1) The CDBG-R Substantial Amendment (template attached below)
- (2) Spreadsheet for Reporting Proposed CDBG-R Activities (see <http://www.hud.gov/recovery>)
- (3) Signed and Dated Certifications (see <http://www.hud.gov/recovery>)
- (4) Signed and Dated [SF-424](#).

Grantees should also attach a completed CDBG-R Substantial Amendment Checklist to ensure completeness and efficiency of review (attached below).

THE CDBG-R SUBSTANTIAL AMENDMENT

Jurisdiction(s): City of Burlington, Vermont	CDBG-R Contact Person: Margaret Bozik
Jurisdiction Web Address: http://www.cedoburlington.org/cdbg/CDBG_R.htm	Address: CEDO, 149 Church St., Room 32, Burlington, VT 05401
<ul style="list-style-type: none">(URL where CDBG-R Substantial Amendment materials are posted)	Telephone: (802) 865-7171
	Fax: (802) 865-7024
	Email: mbozik@ci.burlington.vt.us

ENSURING RESPONSIBLE SPENDING OF RECOVERY ACT FUNDS

Funding available under the Recovery Act has clear purposes – to stimulate the economy through measures that modernize the Nation’s infrastructure, improve energy efficiency, and expand educational opportunities and access to health care. HUD strongly urges grantees to use CDBG-R funds for hard development costs associated with infrastructure activities that provide basic services to residents or activities that promote energy efficiency and conservation through rehabilitation or retrofitting of existing buildings. While the full range of CDBG activities is available to grantees, the Department strongly suggests that grantees incorporate consideration of the public perception of the intent of the Recovery Act in identifying and selecting projects for CDBG-R funding.

A. SPREADSHEET FOR REPORTING PROPOSED CDBG-R ACTIVITIES

Grantees must provide information concerning CDBG-R assisted activities in an electronic spreadsheet provided by HUD. The information that must be reported in the spreadsheet includes activity name, activity description, CDBG-R dollar amount budgeted, eligibility category, national objective citation, additional Recovery Act funds for the activity received from other programs, and total activity budget. An electronic copy of the spreadsheet and the format is available on HUD’s recovery website at <http://www.hud.gov/recovery>.

The spreadsheet is attached as Exhibit A.

B. CDBG-R INFORMATION BY ACTIVITY (COMPLETE FOR EACH ACTIVITY)

ACTIVITY #1

- (1) Activity Name: (Grantees should follow the same order that activities are listed in the Spreadsheet for Reporting Proposed CDBG-R Activities – this will allow HUD to easily match activity narratives with the information provided in the spreadsheet.)

Three Cathedral Square Solar Panels

- (2) Activity Narrative:

In addition to the Spreadsheet for Reporting Proposed CDBG-R Activities, grantees must provide a narrative for each activity describing how the use of the grantee's CDBG-R funds will meet the requirements of Title XII of Division A and Section 1602 of ARRA. The grantee's narrative must also state how CDBG-R funds will be used in a manner that maximizes job creation and economic benefit in relation to the CDBG-R funds obligated, and will address the Recovery Act, by:

- Preserving and creating jobs and promoting economic recovery;
- Assisting those most impacted by the recession;
- Providing investment needed to increase economic efficiency;
- Investing in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits;
- Minimizing or avoiding reductions in essential services; or
- Fostering energy independence.

This activity will install new solar panels on the roof of Three Cathedral Square, a 108-unit affordable senior housing development in downtown Burlington. Three Cathedral Square is the only affordable senior housing in Vermont that provides both independent and Assisted Living. Built 30 years ago with funding from HUD's 202 Program, the 10-story building will be undergoing significant modernization over the next 18 months, including replacing the elevators, windows and appliances. \$90,000 of CDBG-R funding will be used to replace the failing existing solar panels, installed in 1980, with a system utilizing current solar technology. The work will be bid this summer, and the estimated completion date is the summer of 2010. All of the occupants of Three Cathedral Square are low/moderate income.

- (3) Jobs Created: (Report the number of full- and part-time jobs estimated to be created and retained by the activity (including permanent, construction, and temporary jobs)).

The installation of the solar panels is estimated to produce 3.5 construction jobs. The overall modernization work is estimated to produce 40 construction jobs.

- (4) Additional Activity Information: (A description of how the activity will promote energy conservation, smart growth, green building technologies, or reduced pollution emissions, if applicable.)

The use of solar energy at the senior housing project will support a clean energy mix and reduced pollution emissions.

- (5) Responsible Organization: (Contact information for the organization that will implement the CDBG-R activity, including its name, location, and administrator contact information)

The Community & Economic Development Office of the city will implement this activity through a subgrant to Cathedral Square Corporation, which owns and manages Three Cathedral Square. Administrator contact information is:

Margaret Bozik
Community & Economic Development Office
149 Church Street, Room 32 – City Hall
Burlington, VT 05401
(802) 865-7171
mbozik@ci.burlington.vt.us

ACTIVITY #2

- (1) Activity Name: (Grantees should follow the same order that activities are listed in the Spreadsheet for Reporting Proposed CDBG-R Activities – this will allow HUD to easily match activity narratives with the information provided in the spreadsheet.)

Revolving Business Loan Program

- (2) Activity Narrative:

In addition to the Spreadsheet for Reporting Proposed CDBG-R Activities, grantees must provide a narrative for each activity describing how the use of the grantee's CDBG-R funds will meet the requirements of Title XII of Division A and Section 1602 of ARRA. The grantee's narrative must also state how CDBG-R funds will be used in a manner that maximizes job creation and economic benefit in relation to the CDBG-R funds obligated, and will address the Recovery Act, by:

- Preserving and creating jobs and promoting economic recovery;
- Assisting those most impacted by the recession;
- Providing investment needed to increase economic efficiency;
- Investing in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits;
- Minimizing or avoiding reductions in essential services; or
- Fostering energy independence.

This activity will fund business loans for energy efficiency and/or to reduce environmental waste; operating capital or financing fixed assets or inventory; and access modifications. The city will work with commercial customers of the Burlington Electric Department (the municipally owned electric utility for the city) who have identified a current interest in efficiency upgrades; with local businesses affected by the tight credit market; and with owners and tenants of older commercial properties whose use of upper story space is constrained by lack of accessibility. Loan applicants must meet the size guidelines of the U.S. Small Business Administration. Loans may range from \$500 up and interest rates will range from 0 to 4%. Repayment schedules will vary according to what is being financed, and loans must be secured by business and/or personal assets. \$99,939 of CDBG-R funding will be used for this loan program. Based on current identified

demand, it is estimated that all of this funding will be lent by the end of October 2009. At least 51% of the jobs created will be low/moderate income using the presumption allowed by the city's Neighborhood Revitalization Strategy.

- (3) Jobs Created: (Report the number of full- and part-time jobs estimated to be created and retained by the activity (including permanent, construction, and temporary jobs)).

The loans are anticipated to create at least 9 permanent jobs and 23 construction jobs.

- (4) Additional Activity Information: (A description of how the activity will promote energy conservation, smart growth, green building technologies, or reduced pollution emissions, if applicable.)

This activity will expand the capacity of the city's successful commercial energy efficiency program as well as promoting smart growth through increased viable commercial space in existing commercial properties, including those in the downtown area.

- (5) Responsible Organization: (Contact information for the organization that will implement the CDBG-R activity, including its name, location, and administrator contact information)

The Community & Economic Development Office of the city will implement this activity
Administrator contact information is:

Margaret Bozik
Community & economic Development Office
149 Church Street, Room 32 – City Hall
Burlington, VT 05401
(802) 865-7171
mbozik@ci.burlington.vt.us

ACTIVITY #3

- (1) Activity Name: (Grantees should follow the same order that activities are listed in the Spreadsheet for Reporting Proposed CDBG-R Activities – this will allow HUD to easily match activity narratives with the information provided in the spreadsheet.)

Moran Plant Brownfields Redevelopment

- (2) Activity Narrative:

In addition to the Spreadsheet for Reporting Proposed CDBG-R Activities, grantees must provide a narrative for each activity describing how the use of the grantee's CDBG-R funds will meet the requirements of Title XII of Division A and Section 1602 of ARRA. The grantee's narrative must also state how CDBG-R funds will be used in a manner that maximizes job creation and economic benefit in relation to the CDBG-R funds obligated, and will address the Recovery Act, by:

- Preserving and creating jobs and promoting economic recovery;

- Assisting those most impacted by the recession;
- Providing investment needed to increase economic efficiency;
- Investing in transportation, environmental protection, or other infrastructure that will provide long-term economic benefits;
- Minimizing or avoiding reductions in essential services; or
- Fostering energy independence.

This activity will fund two discrete activities that are part of the redevelopment of the Moran Plant (a defunct coal-fired generating plant on Burlington's waterfront) into a public facility in accordance with the project concept approved by 65% of Burlington voters in March 2008. A public-private partnership will redevelop the blighted industrial property, resulting in a significant impact on the regional economy. The city is currently in the process of cleaning-up environmental contamination at the site. \$25,000 of CDBG-R funding will be used for two activities:

- (a) Stabilization of the building as part of cleaning up environmental contamination at the site.
- (b) Retaining a development consultant to help move the project from pre-development into the development phase, including evaluation of specific financing strategies and development of development proformas.

Both activities will be completed by September 1, 2009. The overall completion date for the project is anticipated to be February 2011. The new public facility will benefit all Burlington residents, 57% of whom are low/moderate income.

- (3) Jobs Created: (Report the number of full- and part-time jobs estimated to be created and retained by the activity (including permanent, construction, and temporary jobs)).

The stabilization work is estimated to produce 5 construction jobs. Overall, the project is anticipated to produce 200+ construction jobs and 80 permanent jobs.

- (4) Additional Activity Information: (A description of how the activity will promote energy conservation, smart growth, green building technologies, or reduced pollution emissions, if applicable.)

In addition to cleaning up environmental contamination, the redeveloped facility will be LEED-rated.

- (5) Responsible Organization: (Contact information for the organization that will implement the CDBG-R activity, including its name, location, and administrator contact information)

The Community & Economic Development Office of the city will implement this activity through contractors. Administrator contact information is:

Margaret Bozik
 Community & economic Development Office
 149 Church Street, Room 32 – City Hall
 Burlington, VT 05401
 (802) 865-7171
mbozik@ci.burlington.vt.us

The city also proposes to use the allowable 10% of CDBG-R funding (\$23,882) for administration.

C. PUBLIC COMMENT

Provide a summary of public comments received to the proposed CDBG-R Substantial Amendment.

Note: A Proposed CDBG-R Substantial Amendment must be published via the usual methods and posted on the jurisdiction's website for no less than 7 calendar days for public comment.

The proposed Substantial Amendment was published at http://www.cedoburlington.org/cdbg/CDBG_R.htm on May 14, 2009. A copy is attached as Exhibit B. The city took the additional step of circulating notice via the e-mail list maintained by the Community & Economic Development Office for weekly citizen communications.

Response: The city received the following questions and comments. Answers to questions about process are indicated below.

Use of the funds:

- Three comments were received suggesting that funds be used on the Edmunds accessibility project (adding an elevator at the historic middle school building).
- One comment was received asking if funds could be used for solar panels at the East Avenue Co-Housing project.
- One comment suggested that the Moran Plant did not fit with the HUD CDBG-R criteria very well.

Process:

- One comment asked whether the CDBG Advisory Board would be involved in the allocation process for this funding.

RESPONSE: No, the federal timing for turning the application around does not make it feasible to use the CDBG Advisory Board.

- One comment asked why decisions were being made so quickly regarding how to spend this funding.

RESPONSE: The speed of the decision-making is primarily driven by the federal requirements. HUD posted its Notice of Program Requirements on May 5 and gave a submission deadline of June 5. There are also local considerations driving the speed of the process. Under the city's requirements, the Substantial Amendment must be approved by the Mayor and Board of Finance. The Board of Finance is currently quite busy with the city's budget for the upcoming fiscal year, and in order to consider this matter before the June 5 deadline, needed to do so on May 21.

- One comment said that CEDO should have moved faster in asking for public comment.

RESPONSE: CEDO waited to get guidance from the HUD webinar on May 13 before formulating and publishing the proposed Substantial Amendment online on May 14, with the comment period to begin on May 15 and run through May 21. CEDO's regular weekly e-notices have been discontinued until a permanent replacement is hired for the position that is responsible for those notices, and staff were tied up responding to a 48-hour turnaround time on another grant application to be completed by close of day on May 15, so the notice went out to the e-mail list about the publication of the Substantial Amendment on Monday rather than on Friday the 15th.

- One comment asked for more detail about the proposed expenditures.

RESPONSE: Some of the information requested is available in the published draft Substantial Amendment. Contact information was provided for further clarification, if desired.

- One comment asked if City Council would be involved in approving the expenditures.

RESPONSE: These expenditures will be approved by the Mayor and the Board of Finance.

CDBG-R Substantial Amendment Grantee Checklist

For the purposes of expediting review, HUD asks that applicants submit the following checklist along with the CDBG-R Substantial Amendment, Spreadsheet for Reporting Proposed CDBG-R Activities, and SF-424.

Contents of a CDBG-R Action Plan Substantial Amendment

Jurisdiction(s): City of Burlington, Vermont Lead Agency: Community & Economic Development Office (CEDO) Jurisdiction Web Address: http://www.cedoburlington.org/cdbg/CDBG_R.htm <i>(URL where CDBG-R Substantial Amendment materials are posted)</i>	CDBG-R Contact Person: Margaret Bozik Address: CEDO, 149 Church St., Room 32, Burlington, VT 05401 Telephone: (802) 865-7171 Fax: (802) 865-7024 Email: mbozik@ci.burlington.vt.us
---	--

The elements in the substantial amendment required for the CDBG recovery funds are:

A. SPREADSHEET FOR REPORTING PROPOSED CDBG-R ACTIVITIES

Does the submission contain a paper copy of the Spreadsheet for Reporting Proposed CDBG-R Activities?

Yes X No Verification found on page **Exhibit A, Page 1**

Does the submission include an electronic version of the Spreadsheet for Reporting Proposed CDBG-R Activities sent to the email box CDBG-R@hud.gov?

Yes X No Date Spreadsheet was emailed: **6/2/09**

Does the Spreadsheet for Reporting Proposed CDBG-R Activities include, for each activity:

- amount of funds budgeted for each activity, including CDBG-R funds, any additional Recovery Funds used and total activity budget,
 Yes X No Verification found on page(s) **Exhibit A, Page 1**
- the Eligibility citation (eligibility regulatory cite or HCDA cite),
 Yes X No Verification found on page(s) **Exhibit A, Page 1**
- the CDBG national objective citation,
 Yes X No Verification found on page(s) **Exhibit A, Page 1**

B. CDBG-R INFORMATION BY ACTIVITY

Does the submission contain information by activity describing how the grantee will use the funds, including:

- a narrative for each activity describing how CDBG-R funds will be used in a manner that maximizes job creation and economic benefit,
Yes X No Verification found on page(s) **3-6**
- projected number of jobs created for each activity,
Yes X No Verification found on page(s) **3-6**
- whether an activity will promote energy efficiency and conservation,
Yes X No Verification found on page(s) **3-6**
- the name, location, and contact information for the entity that will carry out the activity,
Yes X No Verification found on page(s) **3-6**
- evidence that no more than 10% of the grant amount will be spent on administration and planning,
Yes X No Verification found on page (s) **7**
- evidence that no more than 15% of the grant amount will be spent on public services,
Yes X No Verification found on page (s) **3-6 (no money to be spent on public services)**
- evidence that at least 70% of the grant amount will benefit persons of low and moderate income,
Yes X No Verification found on page (s) **3-6**

C. PUBLIC COMMENT PERIOD

Was the proposed action plan amendment published via the jurisdiction’s usual methods and on the Internet for no less than 7 calendar days of public comment?

Yes X No Verification found on page(s) **Exhibit B**

Is there a summary of citizen comments included in the final amendment?

Yes X No Verification found on page(s) **7-8**

D. CERTIFICATIONS

The following certifications are complete and accurate:

- | | | |
|---|-------|-----------------------------|
| (1) Affirmatively furthering fair housing | Yes X | No <input type="checkbox"/> |
| (2) Anti-displacement and relocation plan | Yes X | No <input type="checkbox"/> |
| (3) Drug-free Workplace | Yes X | No <input type="checkbox"/> |
| (4) Anti-lobbying | Yes X | No <input type="checkbox"/> |
| (5) Authority of jurisdiction | Yes X | No <input type="checkbox"/> |
| (6) Consistency with plan | Yes X | No <input type="checkbox"/> |
| (7) Section 3 | Yes X | No <input type="checkbox"/> |

- | | | |
|--|-------|-----------------------------|
| (8) Community development plan | Yes X | No <input type="checkbox"/> |
| (9) Following a plan | Yes X | No <input type="checkbox"/> |
| (10) Use of Funds | Yes X | No <input type="checkbox"/> |
| (11) Excessive Force | Yes X | No <input type="checkbox"/> |
| (12) Compliance with anti-discrimination laws | Yes X | No <input type="checkbox"/> |
| (13) Lead-based paint procedures | Yes X | No <input type="checkbox"/> |
| (14) Compliance with laws | Yes X | No <input type="checkbox"/> |
| (15) Compliance with ARRA | Yes X | No <input type="checkbox"/> |
| (16) Project selection | Yes X | No <input type="checkbox"/> |
| (17) Timeliness of infrastructure investments | Yes X | No <input type="checkbox"/> |
| (18) Buy American provision | Yes X | No <input type="checkbox"/> |
| (19) Appropriate use of funds for infrastructure investments | Yes X | No <input type="checkbox"/> |
| (20) 70% of CDBG-R for LMI | Yes X | No <input type="checkbox"/> |

Optional Certification

- | | | |
|------------------|------------------------------|------|
| (21) Urgent Need | Yes <input type="checkbox"/> | No X |
|------------------|------------------------------|------|

D. STATE CERTIFICATIONS

The following certifications are complete and accurate:

- | | | |
|--|------------------------------|-----------------------------|
| (1) Affirmatively furthering fair housing | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (2) Anti-displacement and relocation plan | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (3) Drug-free Workplace | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (4) Anti-lobbying | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (5) Authority of State | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (6) Consistency with plan | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (7) Section 3 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (8) Community development plan | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (9) Consultation with Local Governments | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (10) Use of Funds | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (11) Excessive Force | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (12) Compliance with anti-discrimination laws | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (13) Compliance with laws | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (14) Compliance with ARRA | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (15) Project selection | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (16) Timeliness of infrastructure investments | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (17) Buy American provision | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (18) Appropriate use of funds for infrastructure investments | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| (19) 70% of CDBG-R for LMI | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Optional Certification

- | | | |
|------------------|------------------------------|-----------------------------|
| (20) Urgent Need | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
|------------------|------------------------------|-----------------------------|